

|                          |                                 |                          |
|--------------------------|---------------------------------|--------------------------|
| FORM PTO-1449 (Modified) | ATTY. DOCKET NO.<br>25886-0055B | SERIAL NO.<br>09/905,501 |
|                          | APPLICANT<br>JAMES CHEN         |                          |
|                          | FILING DATE<br>July 13, 2001    | GROUP<br>3762            |

LIST OF PATENTS AND PUBLICATIONS FOR  
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| EXAMINER<br>INITIAL |   | DOCUMENT NUMBER |    |    |    |   |   |   | DATE           | NAME                 | CLASS | SUB<br>CLASS | FILING<br>DATE |
|---------------------|---|-----------------|----|----|----|---|---|---|----------------|----------------------|-------|--------------|----------------|
|                     | A | 20              | 01 | 00 | 46 | 9 | 8 | 3 | A1<br>11/29/01 | Pandey <i>et al.</i> | 514   | 185          | 12/18/00       |
|                     | B | 20              | 01 | 00 | 49 | 5 | 0 | 2 | A1<br>12/06/01 | Chen                 | 604   | 167.06       | 11/25/98       |
|                     | C | 20              | 02 | 00 | 10 | 5 | 0 | 0 | A1<br>01/24/02 | Chen                 | 607   | 89           | 06/24/98       |
|                     | D | 5               | 1  | 7  | 1  | 7 | 4 | 9 | 12/15/92       | Levy <i>et al.</i>   | 514   | 410          | 06/20/91       |
|                     | E | 5               | 2  | 8  | 3  | 2 | 5 | 5 | 02/01/94       | Levy <i>et al.</i>   | 514   | 410          | 09/11/92       |
|                     | F | 5               | 3  | 9  | 9  | 5 | 8 | 3 | 03/21/95       | Levy <i>et al.</i>   | 514   | 410          | 01/25/94       |
|                     | G | 5               | 4  | 8  | 4  | 7 | 7 | 8 | 01/16/96       | Kenney <i>et al.</i> | 514   | 63           | 09/02/93       |
|                     | H | 5               | 4  | 8  | 4  | 8 | 0 | 3 | 01/16/96       | Richter              | 514   | 410          | 02/02/95       |
|                     | I | 5               | 5  | 1  | 4  | 6 | 6 | 9 | 05/07/96       | Selman               | 514   | 63           | 09/29/93       |
|                     | J | 5               | 5  | 7  | 1  | 1 | 5 | 2 | 11/05/96       | Chen <i>et al.</i>   | 607   | 92           | 05/26/95       |
|                     | K | 5               | 7  | 1  | 5  | 8 | 3 | 7 | 02/10/98       | Chen                 | 128   | 899          | 08/29/96       |
|                     | L | 5               | 7  | 3  | 6  | 5 | 6 | 3 | 04/07/98       | Richter              | 514   | 410          | 11/08/95       |
|                     | M | 5               | 7  | 4  | 1  | 3 | 1 | 6 | 04/21/98       | Chen <i>et al.</i>   | 607   | 61           | 12/02/96       |
|                     | N | 5               | 7  | 6  | 6  | 2 | 3 | 4 | 06/16/98       | Chen <i>et al.</i>   | 607   | 92           | 04/16/96       |
|                     | O | 5               | 7  | 7  | 0  | 7 | 3 | 0 | 06/23/98       | Pandey <i>et al.</i> | 540   | 472          | 03/08/96       |
|                     | P | 5               | 7  | 8  | 2  | 8 | 9 | 6 | 07/21/98       | Chen <i>et al.</i>   | 607   | 88           | 01/29/97       |
|                     | Q | 5               | 8  | 0  | 0  | 4 | 7 | 8 | 09/01/98       | Chen <i>et al.</i>   | 607   | 88           | 03/07/96       |
|                     | R | 5               | 8  | 0  | 7  | 8 | 8 | 1 | 09/15/98       | Leong <i>et al.</i>  | 514   | 410          | 09/22/94       |
|                     | S | 5               | 8  | 1  | 4  | 0 | 0 | 8 | 09/29/98       | Chen <i>et al.</i>   | 604   | 21           | 07/29/96       |
|                     | T | 5               | 8  | 1  | 7  | 0 | 4 | 8 | 10/06/98       | Lawandy              | 604   | 20           | 03/20/97       |
|                     | U | 5               | 8  | 2  | 7  | 1 | 8 | 6 | 10/27/98       | Chen <i>et al.</i>   | 600   | 407          | 04/11/97       |
|                     | V | 5               | 8  | 6  | 4  | 0 | 3 | 5 | 01/26/99       | Pandey <i>et al.</i> | 540   | 472          | 03/06/97       |
|                     | W | 5               | 8  | 6  | 5  | 8 | 4 | 0 | 02/02/99       | Chen                 | 607   | 92           | 10/22/97       |

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Title: **TRANSCUTANEOUS PHOTODYNAMIC TREATMENT OF TARGETED CELLS**

|                          |                                 |                          |
|--------------------------|---------------------------------|--------------------------|
| FORM PTO-1449 (Modified) | ATTY. DOCKET NO.<br>25886-0055B | SERIAL NO.<br>09/905,501 |
|                          | APPLICANT<br>JAMES CHEN         |                          |
|                          | FILING DATE<br>July 13, 2001    | GROUP<br>3762            |

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PATENT DOCUMENTS

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|---------------------|----|-----------------|---|---|---|---|---|---|----------------|-----------------------|-------|--------------|----------------|
|                     | X  | 5               | 8 | 7 | 6 | 4 | 2 | 7 | 03/02/99       | Chen <i>et al.</i>    | 607   | 88           | 01/29/97       |
|                     | Y  | 5               | 8 | 8 | 2 | 3 | 2 | 8 | 03/16/99       | Levy <i>et al.</i>    | 604   | 20           | 12/02/96       |
|                     | Z  | 5               | 9 | 2 | 1 | 2 | 4 | 4 | 07/13/99       | Chen <i>et al.</i>    | 128   | 897          | 06/11/97       |
|                     | AA | 5               | 9 | 4 | 2 | 5 | 3 | 4 | 08/24/99       | Trauner <i>et al.</i> | 514   | 410          | 10/10/97       |
|                     | AB | 5               | 9 | 4 | 5 | 7 | 6 | 2 | 08/31/99       | Chen <i>et al.</i>    | 310   | 171          | 02/10/98       |
|                     | AC | 5               | 9 | 5 | 7 | 9 | 6 | 0 | 09/28/99       | Chen <i>et al.</i>    | 607   | 92           | 05/05/97       |
|                     | AD | 5               | 9 | 9 | 7 | 5 | 6 | 9 | 12/07/99       | Chen <i>et al.</i>    | 607   | 88           | 01/29/97       |
|                     | AE | 5               | 9 | 9 | 7 | 8 | 4 | 2 | 12/07/99       | Chen                  | 424   | 1.29         | 04/13/98       |
|                     | AF | 6               | 0 | 8 | 0 | 1 | 6 | 0 | 06/27/00       | Chen <i>et al.</i>    | 606   | 72           | 12/04/96       |
|                     | AG | 6               | 0 | 8 | 3 | 4 | 8 | 5 | 07/04/00       | Licha <i>et al.</i>   | 424   | 9.6          | 11/07/97       |
|                     | AH | 6               | 0 | 9 | 2 | 5 | 3 | 1 | 07/25/00       | Chen <i>et al.</i>    | 128   | 899          | 06/03/99       |
|                     | AI | 6               | 0 | 9 | 6 | 0 | 6 | 6 | 08/01/00       | Chen <i>et al.</i>    | 607   | 88           | 09/11/98       |
|                     | AJ | 6               | 1 | 0 | 0 | 2 | 9 | 0 | 08/08/00       | Levy <i>et al.</i>    | 514   | 410          | 09/14/98       |
|                     | AK | 6               | 1 | 0 | 7 | 3 | 2 | 5 | 08/22/00       | Chan <i>et al.</i>    | 514   | 410          | 05/18/98       |
|                     | AL | 6               | 1 | 3 | 8 | 6 | 8 | 1 | 10/13/97       | Chen <i>et al.</i>    | 128   | 899          | 10/31/00       |
|                     | AM | 6               | 2 | 1 | 0 | 4 | 2 | 5 | B1<br>04/03/01 | Chen                  | 607   | 88           | 07/08/99       |
|                     | AN | 6               | 2 | 1 | 7 | 8 | 6 | 9 | B1<br>04/17/01 | Meyer <i>et al.</i>   | 424   | 178.1        | 09/05/97       |
|                     | AO | 6               | 2 | 3 | 8 | 4 | 2 | 6 | B1<br>05/29/01 | Chen                  | 607   | 88           | 07/19/99       |
|                     | AP | 6               | 2 | 7 | 3 | 9 | 0 | 4 | B1<br>08/14/01 | Chen <i>et al.</i>    | 607   | 88           | 03/02/99       |
|                     | AQ | 6               | 2 | 9 | 7 | 2 | 2 | 8 | 10/02/01       | Clark <i>et al.</i>   | 514   | 177          | 06/18/98       |
|                     | AR | 6               | 3 | 1 | 9 | 2 | 7 | 3 | B1<br>11/20/01 | Chen <i>et al.</i>    | 607   | 88           | 12/16/99       |
|                     | AS | 6               | 3 | 3 | 1 | 7 | 4 | 4 | B1<br>12/18/01 | Chen <i>et al.</i>    | 310   | 171          | 04/11/00       |

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|                          |                                 |                          |
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|                          | APPLICANT<br>JAMES CHEN         |                          |
|                          | FILING DATE<br>July 13, 2001    | GROUP<br>3762            |

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PATENT DOCUMENTS

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|---------------------|----|-----------------|---|---|---|---|---|---|----------------|------|-------|--------------|----------------|
|                     | AT | 6               | 3 | 4 | 4 | 0 | 5 | 0 | B1<br>02/05/02 | Chen | 607   | 88           | 12/21/98       |

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|   |    | DOCUMENT NUMBER |   |   |   |   |   |   | DATE     | COUNTRY | CLASS | SUB<br>CLASS | Translation<br>Yes No |  |
|---|----|-----------------|---|---|---|---|---|---|----------|---------|-------|--------------|-----------------------|--|
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|   | AV | 0               | 0 | 3 | 6 | 9 | 8 | 3 | 06/29/00 | PCT     |       |              |                       |  |
|   | AW | 0               | 0 | 4 | 1 | 7 | 2 | 5 | 07/20/00 | PCT     |       |              |                       |  |
|   | AX | 0               | 0 | 4 | 1 | 7 | 2 | 6 | 07/20/00 | PCT     |       |              |                       |  |
|   | AY | 0               | 0 | 4 | 1 | 7 | 2 | 7 | 07/20/00 | PCT     |       |              |                       |  |
|   | AZ | 0               | 0 | 4 | 1 | 7 | 6 | 8 | 07/20/00 | PCT     |       |              |                       |  |
|   | BA | 0               | 1 | 0 | 3 | 7 | 7 | 0 | 01/18/01 | PCT     |       |              |                       |  |
|   | BB | 0               | 1 | 0 | 5 | 3 | 1 | 6 | 01/25/01 | PCT     |       |              |                       |  |
|   | BC | 0               | 1 | 1 | 5 | 6 | 9 | 4 | 03/08/01 | PCT     |       |              |                       |  |
|   | BD | 0               | 1 | 5 | 1 | 0 | 8 | 7 | 07/19/01 | PCT     |       |              |                       |  |
|   | BE | 0               | 6 | 7 | 4 | 2 | 5 | 1 | 06/29/94 | AU      |       |              |                       |  |
|   | BF | 0               | 6 | 9 | 4 | 8 | 6 | 8 | 03/18/96 | AU      |       |              |                       |  |
|   | BG | 0               | 7 | 0 | 8 | 4 | 1 | 0 | 02/14/97 | AU      |       |              |                       |  |
|   | BH | 0               | 7 | 1 | 3 | 2 | 2 | 7 | 09/26/97 | AU      |       |              |                       |  |
|   | BI | 0               | 7 | 2 | 0 | 8 | 1 | 5 | 06/26/87 | AU      |       |              |                       |  |
|   | BJ | 0               | 7 | 2 | 1 | 8 | 5 | 7 | 04/28/99 | AU      |       |              |                       |  |
| / | BK | 9               | 3 | 1 | 1 | 6 | 5 | 7 | 06/24/93 | PCT     |       |              |                       |  |
| / | BL | 9               | 7 | 3 | 2 | 5 | 2 | 0 | 09/12/97 | PCT     |       |              |                       |  |
| / | BM | 9               | 8 | 0 | 6 | 4 | 5 | 6 | 02/19/98 | PCT     |       |              |                       |  |
| / | BN | 9               | 8 | 0 | 8 | 5 | 6 | 5 | 03/05/98 | PCT     |       |              |                       |  |

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FORM PTO-1449 (Modified)

ATTY. DOCKET NO.  
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|  |    | DOCUMENT NUMBER |   |   |   |   |   |   | DATE     | COUNTRY | CLASS | SUB<br>CLASS | Translation |    |
|--|----|-----------------|---|---|---|---|---|---|----------|---------|-------|--------------|-------------|----|
|  |    |                 |   |   |   |   |   |   |          |         |       |              | Yes         | No |
|  | BO | 9               | 8 | 1 | 4 | 2 | 4 | 3 | 04/09/98 | PCT     |       |              |             |    |
|  | BP | 9               | 8 | 2 | 4 | 3 | 7 | 1 | 06/11/98 | PCT     |       |              |             |    |
|  | BQ | 9               | 8 | 2 | 4 | 5 | 1 | 0 | 06/11/98 | PCT     |       |              |             |    |
|  | BR | 9               | 8 | 3 | 2 | 4 | 9 | 1 | 07/30/98 | PCT     |       |              |             |    |
|  | BS | 9               | 8 | 3 | 2 | 4 | 9 | 2 | 07/30/98 | PCT     |       |              |             |    |
|  | BT | 9               | 8 | 3 | 2 | 4 | 9 | 3 | 07/30/98 | PCT     |       |              |             |    |
|  | BU | 9               | 8 | 4 | 6 | 1 | 3 | 0 | 10/22/98 | PCT     |       |              |             |    |
|  | BV | 9               | 8 | 5 | 0 | 0 | 3 | 4 | 11/12/98 | PCT     |       |              |             |    |
|  | BW | 9               | 8 | 5 | 6 | 3 | 0 | 2 | 12/17/98 | PCT     |       |              |             |    |
|  | BX | 9               | 9 | 0 | 3 | 5 | 0 | 3 | 01/28/99 | PCT     |       |              |             |    |
|  | BY | 9               | 9 | 1 | 8 | 8 | 7 | 9 | 04/22/99 | PCT     |       |              |             |    |
|  | BZ | 9               | 9 | 2 | 0 | 3 | 4 | 6 | 04/29/99 | PCT     |       |              |             |    |
|  | CA | 9               | 9 | 3 | 9 | 7 | 6 | 9 | 08/12/99 | PCT     |       |              |             |    |
|  | CB | 9               | 9 | 5 | 2 | 5 | 6 | 5 | 12/21/99 | PCT     |       |              |             |    |
|  | CC | 9               | 9 | 5 | 8 | 1 | 4 | 9 | 11/18/99 | PCT     |       |              |             |    |
|  | CD | 9               | 9 | 6 | 6 | 9 | 8 | 8 | 12/29/99 | PCT     |       |              |             |    |

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

|    |  |
|----|--|
| CE | Adilia <i>et al.</i> , "Local delivery of photosensitizing drugs in arteries: a novel approach to photodynamic therapy for the prevention of intimal hyperplasia", <i>Proc. SPIE-INT. Soc. Opt. Eng.</i> , <u>2395</u> :402-8 (1995) (Ger. Symp. Laser Angioplasty, 2nd, 1980) |
| CF | Ciulla <i>et al.</i> , "Changing therapeutic paradigms for exudative age-related macular degeneration: antiangiogenic agents and photodynamic therapy", <i>Exp. Opin. Invest. Drugs</i> , <u>8(12)</u> :2173-2182 (1999)   |

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|   |    |   |
|---|----|---|
| ✓ | CG | Dartsch, <i>et al.</i> , "Photodynamic therapy of vascular stenoses? Response of cultured human smooth muscle cells from non-atherosclerotic arteries and atheromatous plaques following treatment with photosensitizing porphyrins", <i>Proc. SPIE-INT. Soc. Opt. Eng.</i> , <u>1462</u> :77-80 (1990) |
| ✓ | CH | Dimitroff <i>et al.</i> , "Anti-angiogenic activity of selected receptor tyrosine kinase inhibitors, PD166285 and PD173074: Implications for combination treatment with photodynamic therapy", <i>Investigational New Drugs</i> , <u>17</u> :121-135 (1999)   |
| ✓ | CI | Ferrario <i>et al.</i> , "Antiangiogenic Treatment Enhances Photodynamic Therapy Responsiveness in a Mouse Mammary Carcinoma", <i>Cancer Research</i> , <u>60</u> :4066-4069 (2000)   |
| ✓ | CJ | Fisher, W.G. <i>et al.</i> "Simultaneous Two-Photon Activation of Type-1 Photodynamic Therapy Agents," <i>Photochem. Photobiol.</i> , <u>66(2)</u> :141-155 (1997)  |
| ✓ | CK | McMillan <i>et al.</i> , "Tumor growth inhibition and regression induced by photothermal vascular targeting and angiogenesis inhibitor retinoic acid", <i>Cancer Lett.</i> , <u>137</u> :35-44 (1999)   |
| ✓ | CL | Renno <i>et al.</i> , "Photodynamic Therapy Using Lu-Tex Induces Apoptosis In Vitro, and Its Effect is Potentiated by Angiostatin in Retinal Capillary Endothelial Cells", <i>Investigative Ophthalmol. &amp; Visual Sci.</i> , <u>41(12)</u> :3963-3971 (2000)   |
| ✓ | CM | Ruebner, A. <i>et al.</i> "Carrier Systems in PDT II: Accumulation Strategies of Biotin-Avidin Coupled Photosensitizers Developed On Cultured Tumor Cells," <i>SPIE</i> , <u>2625</u> :328-32 (1996)  |
| ✓ | CN | Savitsky, A.P. <i>et al.</i> "Avidin-Biotin System for Targeting Delivery of Photosensitizers and Other Cytotoxic Agents Into Malignant Tissues," <i>SPIE</i> , <u>3191</u> : 243-53 (1997)   |
|   | CO | Sigsestad, C.P. <i>et al.</i> "Chemical Modification of Normal Tissue Damage Induced by Photodynamic Therapy," <i>Brit. J. Cancer</i> <u>74(Suppl.37)</u> :S89-92 (1996)  |

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|                     | AT | 6               | 3 | 4 | 4 | 0 | 5 | 0 | B1<br>02/05/02 | Chen | 607   | 88           | 12/21/98       |

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|---|----|-----------------|---|---|---|---|---|---|----------|---------|-------|--------------|-----------------------|--|
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| / | AV | 0               | 0 | 3 | 6 | 9 | 8 | 3 | 06/29/00 | PCT     |       |              |                       |  |
| / | AW | 0               | 0 | 4 | 1 | 7 | 2 | 5 | 07/20/00 | PCT     |       |              |                       |  |
| / | AX | 0               | 0 | 4 | 1 | 7 | 2 | 6 | 07/20/00 | PCT     |       |              |                       |  |
| / | AY | 0               | 0 | 4 | 1 | 7 | 2 | 7 | 07/20/00 | PCT     |       |              |                       |  |
| / | AZ | 0               | 0 | 4 | 1 | 7 | 6 | 8 | 07/20/00 | PCT     |       |              |                       |  |
| / | BA | 0               | 1 | 0 | 3 | 7 | 7 | 0 | 01/18/01 | PCT     |       |              |                       |  |
| / | BB | 0               | 1 | 0 | 5 | 3 | 1 | 6 | 01/25/01 | PCT     |       |              |                       |  |
| / | BC | 0               | 1 | 1 | 5 | 6 | 9 | 4 | 03/08/01 | PCT     |       |              |                       |  |
| / | BD | 0               | 1 | 5 | 1 | 0 | 8 | 7 | 07/19/01 | PCT     |       |              |                       |  |
| / | BE | 0               | 6 | 7 | 4 | 2 | 5 | 1 | 06/29/94 | AU      |       |              |                       |  |
| / | BF | 0               | 6 | 9 | 4 | 8 | 6 | 8 | 03/18/96 | AU      |       |              |                       |  |
| / | BG | 0               | 7 | 0 | 8 | 4 | 1 | 0 | 02/14/97 | AU      |       |              |                       |  |
| / | BH | 0               | 7 | 1 | 3 | 2 | 2 | 7 | 09/26/97 | AU      |       |              |                       |  |
| / | BI | 0               | 7 | 2 | 0 | 8 | 1 | 5 | 06/26/87 | AU      |       |              |                       |  |
| / | BJ | 0               | 7 | 2 | 1 | 8 | 5 | 7 | 04/28/99 | AU      |       |              |                       |  |
|   | BK | 9               | 3 | 1 | 1 | 6 | 5 | 7 | 06/24/93 | PCT     |       |              |                       |  |
|   | BL | 9               | 7 | 3 | 2 | 5 | 2 | 0 | 09/12/97 | PCT     |       |              |                       |  |
|   | BM | 9               | 8 | 0 | 6 | 4 | 5 | 6 | 02/19/98 | PCT     |       |              |                       |  |
|   | BN | 9               | 8 | 0 | 8 | 5 | 6 | 5 | 03/05/98 | PCT     |       |              |                       |  |

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|  | BQ | 9               | 8 | 2 | 4 | 5 | 1 | 0 | 06/11/98 | PCT     |       |           |                       |  |
|  | BR | 9               | 8 | 3 | 2 | 4 | 9 | 1 | 07/30/98 | PCT     |       |           |                       |  |
|  | BS | 9               | 8 | 3 | 2 | 4 | 9 | 2 | 07/30/98 | PCT     |       |           |                       |  |
|  | BT | 9               | 8 | 3 | 2 | 4 | 9 | 3 | 07/30/98 | PCT     |       |           |                       |  |
|  | BU | 9               | 8 | 4 | 6 | 1 | 3 | 0 | 10/22/98 | PCT     |       |           |                       |  |
|  | BV | 9               | 8 | 5 | 0 | 0 | 3 | 4 | 11/12/98 | PCT     |       |           |                       |  |
|  | BW | 9               | 8 | 5 | 6 | 3 | 0 | 2 | 12/17/98 | PCT     |       |           |                       |  |
|  | BX | 9               | 9 | 0 | 3 | 5 | 0 | 3 | 01/28/99 | PCT     |       |           |                       |  |
|  | BY | 9               | 9 | 1 | 8 | 8 | 7 | 9 | 04/22/99 | PCT     |       |           |                       |  |
|  | BZ | 9               | 9 | 2 | 0 | 3 | 4 | 6 | 04/29/99 | PCT     |       |           |                       |  |
|  | CA | 9               | 9 | 3 | 9 | 7 | 6 | 9 | 08/12/99 | PCT     |       |           |                       |  |
|  | CB | 9               | 9 | 5 | 2 | 5 | 6 | 5 | 12/21/99 | PCT     |       |           |                       |  |
|  | CC | 9               | 9 | 5 | 8 | 1 | 4 | 9 | 11/18/99 | PCT     |       |           |                       |  |
|  | CD | 9               | 9 | 6 | 6 | 9 | 8 | 8 | 12/29/99 | PCT     |       |           |                       |  |

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

|    |  |
|----|--|
| CE | Adilia <i>et al.</i> , "Local delivery of photosensitizing drugs in arteries: a novel approach to photodynamic therapy for the prevention of intimal hyperplasia", <i>Proc. SPIE-INT. Soc. Opt. Eng.</i> , <u>2395</u> :402-8 (1995) (Ger. Symp. Laser Angioplasty, 2nd, 1980) |
| CF | Ciulla <i>et al.</i> , "Changing therapeutic paradigms for exudative age-related macular degeneration: antiangiogenic agents and photodynamic therapy", <i>Exp. Opin. Invest. Drugs</i> , <u>8(12)</u> :2173-2182 (1999)   |

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Title: **TRANSCUTANEOUS PHOTODYNAMIC TREATMENT OF TARGETED CELLS**

|   |                                 |                          |
|---|---------------------------------|--------------------------|
| FORM PTO-1449 (Modified)<br><br>LIST OF PATENTS AND PUBLICATIONS FOR<br>APPLICANT'S INFORMATION DISCLOSURE<br>STATEMENT | ATTY. DOCKET NO.<br>25886-0055B | SERIAL NO.<br>09/905,501 |
|   | APPLICANT<br>JAMES CHEN         |                          |
|   | FILING DATE<br>July 13, 2001    | GROUP<br>3762            |

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

|    |   |
|----|---|
| CG | Dartsch, <i>et al.</i> , "Photodynamic therapy of vascular stenoses? Response of cultured human smooth muscle cells from non-atherosclerotic arteries and atheromatous plaques following treatment with photosensitizing porphyrins", <i>Proc. SPIE-INT. Soc. Opt. Eng.</i> , <u>1462</u> :77-80 (1990) |
| CH | Dimitroff <i>et al.</i> , "Anti-angiogenic activity of selected receptor tyrosine kinase inhibitors, PD166285 and PD173074: Implications for combination treatment with photodynamic therapy", <i>Investigational New Drugs</i> , <u>17</u> :121-135 (1999)   |
| CI | Ferrario <i>et al.</i> , "Antiangiogenic Treatment Enhances Photodynamic Therapy Responsiveness in a Mouse Mammary Carcinoma", <i>Cancer Research</i> , <u>60</u> :4066-4069 (2000)   |
| CJ | Fisher, W.G. <i>et al.</i> "Simultaneous Two-Photon Activation of Type-1 Photodynamic Therapy Agents," <i>Photochem. Photobiol.</i> , <u>66(2)</u> :141-155 (1997)  |
| CK | McMillan <i>et al.</i> , "Tumor growth inhibition and regression induced by photothermal vascular targeting and angiogenesis inhibitor retinoic acid", <i>Cancer Lett.</i> , <u>137</u> :35-44 (1999)   |
| CL | Renno <i>et al.</i> , "Photodynamic Therapy Using Lu-Tex Induces Apoptosis In Vitro, and Its Effect is Potentiated by Angiostatin in Retinal Capillary Endothelial Cells", <i>Investigative Ophthalmol. &amp; Visual Sci.</i> , <u>41(12)</u> :3963-3971 (2000)   |
| CM | Ruebner, A. <i>et al.</i> "Carrier Systems in PDT II: Accumulation Strategies of Biotin-Avidin Coupled Photosensitizers Developed On Cultured Tumor Cells," <i>SPIE</i> , <u>2625</u> :328-32 (1996)  |
| CN | Savitsky, A.P. <i>et al.</i> "Avidin-Biotin System for Targeting Delivery of Photosensitizers and Other Cytotoxic Agents Into Malignant Tissues," <i>SPIE</i> , <u>3191</u> : 243-53 (1997)   |
| CO | Sigsestad, C.P. <i>et al.</i> "Chemical Modification of Normal Tissue Damage Induced by Photodynamic Therapy," <i>Brit. J. Cancer</i> <u>74(Suppl.37)</u> :S89-92 (1996)  |

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FORM PTO-1449 (Modified)

ATTY. DOCKET NO.  
25886-0055BSERIAL NO.  
09/905,501LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
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JAMES CHENFILING DATE  
July 13, 2001GROUP  
3762

## PATENT DOCUMENTS

| EXAMINER<br>INITIAL |   | DOCUMENT NUMBER |    |    |    |   |   |   | DATE           | NAME                 | CLASS | SUB<br>CLASS | FILING<br>DATE |
|---------------------|---|-----------------|----|----|----|---|---|---|----------------|----------------------|-------|--------------|----------------|
|                     | A | 20              | 01 | 00 | 46 | 9 | 8 | 3 | A1<br>11/29/01 | Pandey <i>et al.</i> | 514   | 185          | 12/18/00       |
|                     | B | 20              | 01 | 00 | 49 | 5 | 0 | 2 | A1<br>12/06/01 | Chen                 | 604   | 167.06       | 11/25/98       |
|                     | C | 20              | 02 | 00 | 10 | 5 | 0 | 0 | A1<br>01/24/02 | Chen                 | 607   | 89           | 06/24/98       |
|                     | D | 5               | 1  | 7  | 1  | 7 | 4 | 9 | 12/15/92       | Levy <i>et al.</i>   | 514   | 410          | 06/20/91       |
|                     | E | 5               | 2  | 8  | 3  | 2 | 5 | 5 | 02/01/94       | Levy <i>et al.</i>   | 514   | 410          | 09/11/92       |
|                     | F | 5               | 3  | 9  | 9  | 5 | 8 | 3 | 03/21/95       | Levy <i>et al.</i>   | 514   | 410          | 01/25/94       |
|                     | G | 5               | 4  | 8  | 4  | 7 | 7 | 8 | 01/16/96       | Kenney <i>et al.</i> | 514   | 63           | 09/02/93       |
|                     | H | 5               | 4  | 8  | 4  | 8 | 0 | 3 | 01/16/96       | Richter              | 514   | 410          | 02/02/95       |
|                     | I | 5               | 5  | 1  | 4  | 6 | 6 | 9 | 05/07/96       | Selman               | 514   | 63           | 09/29/93       |
|                     | J | 5               | 5  | 7  | 1  | 1 | 5 | 2 | 11/05/96       | Chen <i>et al.</i>   | 607   | 92           | 05/26/95       |
|                     | K | 5               | 7  | 1  | 5  | 8 | 3 | 7 | 02/10/98       | Chen                 | 128   | 899          | 08/29/96       |
|                     | L | 5               | 7  | 3  | 6  | 5 | 6 | 3 | 04/07/98       | Richter              | 514   | 410          | 11/08/95       |
|                     | M | 5               | 7  | 4  | 1  | 3 | 1 | 6 | 04/21/98       | Chen <i>et al.</i>   | 607   | 61           | 12/02/96       |
|                     | N | 5               | 7  | 6  | 6  | 2 | 3 | 4 | 06/16/98       | Chen <i>et al.</i>   | 607   | 92           | 04/16/96       |
|                     | O | 5               | 7  | 7  | 0  | 7 | 3 | 0 | 06/23/98       | Pandey <i>et al.</i> | 540   | 472          | 03/08/96       |
|                     | P | 5               | 7  | 8  | 2  | 8 | 9 | 6 | 07/21/98       | Chen <i>et al.</i>   | 607   | 88           | 01/29/97       |
|                     | Q | 5               | 8  | 0  | 0  | 4 | 7 | 8 | 09/01/98       | Chen <i>et al.</i>   | 607   | 88           | 03/07/96       |
|                     | R | 5               | 8  | 0  | 7  | 8 | 8 | 1 | 09/15/98       | Leong <i>et al.</i>  | 514   | 410          | 09/22/94       |
|                     | S | 5               | 8  | 1  | 4  | 0 | 0 | 8 | 09/29/98       | Chen <i>et al.</i>   | 604   | 21           | 07/29/96       |
|                     | T | 5               | 8  | 1  | 7  | 0 | 4 | 8 | 10/06/98       | Lawandy              | 604   | 20           | 03/20/97       |
|                     | U | 5               | 8  | 2  | 7  | 1 | 8 | 6 | 10/27/98       | Chen <i>et al.</i>   | 600   | 407          | 04/11/97       |
|                     | V | 5               | 8  | 6  | 4  | 0 | 3 | 5 | 01/26/99       | Pandey <i>et al.</i> | 540   | 472          | 03/06/97       |
|                     | W | 5               | 8  | 6  | 5  | 8 | 4 | 0 | 02/02/99       | Chen                 | 607   | 92           | 10/22/97       |

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|                          | APPLICANT<br>JAMES CHEN         |                          |
|                          | FILING DATE<br>July 13, 2001    | GROUP<br>3762            |

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT

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|---------------------|----|-----------------|---|---|---|---|---|---|----------------|-----------------------|-------|--------------|----------------|
|                     | X  | 5               | 8 | 7 | 6 | 4 | 2 | 7 | 03/02/99       | Chen <i>et al.</i>    | 607   | 88           | 01/29/97       |
|                     | Y  | 5               | 8 | 8 | 2 | 3 | 2 | 8 | 03/16/99       | Levy <i>et al.</i>    | 604   | 20           | 12/02/96       |
|                     | Z  | 5               | 9 | 2 | 1 | 2 | 4 | 4 | 07/13/99       | Chen <i>et al.</i>    | 128   | 897          | 06/11/97       |
|                     | AA | 5               | 9 | 4 | 2 | 5 | 3 | 4 | 08/24/99       | Trauner <i>et al.</i> | 514   | 410          | 10/10/97       |
|                     | AB | 5               | 9 | 4 | 5 | 7 | 6 | 2 | 08/31/99       | Chen <i>et al.</i>    | 310   | 171          | 02/10/98       |
|                     | AC | 5               | 9 | 5 | 7 | 9 | 6 | 0 | 09/28/99       | Chen <i>et al.</i>    | 607   | 92           | 05/05/97       |
|                     | AD | 5               | 9 | 9 | 7 | 5 | 6 | 9 | 12/07/99       | Chen <i>et al.</i>    | 607   | 88           | 01/29/97       |
|                     | AE | 5               | 9 | 9 | 7 | 8 | 4 | 2 | 12/07/99       | Chen                  | 424   | 1.29         | 04/13/98       |
|                     | AF | 6               | 0 | 8 | 0 | 1 | 6 | 0 | 06/27/00       | Chen <i>et al.</i>    | 606   | 72           | 12/04/96       |
|                     | AG | 6               | 0 | 8 | 3 | 4 | 8 | 5 | 07/04/00       | Licha <i>et al.</i>   | 424   | 9.6          | 11/07/97       |
|                     | AH | 6               | 0 | 9 | 2 | 5 | 3 | 1 | 07/25/00       | Chen <i>et al.</i>    | 128   | 899          | 06/03/99       |
|                     | AI | 6               | 0 | 9 | 6 | 0 | 6 | 6 | 08/01/00       | Chen <i>et al.</i>    | 607   | 88           | 09/11/98       |
|                     | AJ | 6               | 1 | 0 | 0 | 2 | 9 | 0 | 08/08/00       | Levy <i>et al.</i>    | 514   | 410          | 09/14/98       |
|                     | AK | 6               | 1 | 0 | 7 | 3 | 2 | 5 | 08/22/00       | Chan <i>et al.</i>    | 514   | 410          | 05/18/98       |
|                     | AL | 6               | 1 | 3 | 8 | 6 | 8 | 1 | 10/13/97       | Chen <i>et al.</i>    | 128   | 899          | 10/31/00       |
|                     | AM | 6               | 2 | 1 | 0 | 4 | 2 | 5 | B1<br>04/03/01 | Chen                  | 607   | 88           | 07/08/99       |
|                     | AN | 6               | 2 | 1 | 7 | 8 | 6 | 9 | B1<br>04/17/01 | Meyer <i>et al.</i>   | 424   | 178.1        | 09/05/97       |
|                     | AO | 6               | 2 | 3 | 8 | 4 | 2 | 6 | B1<br>05/29/01 | Chen                  | 607   | 88           | 07/19/99       |
|                     | AP | 6               | 2 | 7 | 3 | 9 | 0 | 4 | B1<br>08/14/01 | Chen <i>et al.</i>    | 607   | 88           | 03/02/99       |
|                     | AQ | 6               | 2 | 9 | 7 | 2 | 2 | 8 | 10/02/01       | Clark <i>et al.</i>   | 514   | 177          | 06/18/98       |
|                     | AR | 6               | 3 | 1 | 9 | 2 | 7 | 3 | B1<br>11/20/01 | Chen <i>et al.</i>    | 607   | 88           | 12/16/99       |
|                     | AS | 6               | 3 | 3 | 1 | 7 | 4 | 4 | B1<br>12/18/01 | Chen <i>et al.</i>    | 310   | 171          | 04/11/00       |

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